New i*Trade@CIMB User Guide

CIMB SECURITIES

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1. SUMMARY

New i*Trade@CIMB is a web based trading management system which caters to equity and derivative trading. It provides real-time stock market information and trading capabilities. Apart from that, the user will be able to monitor the order status and manage the stock portfolio. Thus with just a click of the mouse, the user will be able to gather relevant market information and make worthy market decisions.

This system is designed to run on PCs and iPads. For iPad users, all double-click actions mentioned in this manual are to be performed with single-clicks.

2. OPERATING PRE-REQUISITES

2.1 Software Requirements

The following are recommended software requirements:

a) Microsoft Windows 2000/XP/Vista (to run on minimum hardware requirements)

b) Microsoft Windows 7 (to run on recommended hardware requirements)

2.2 Hardware Requirements

The following are minimal and optimal hardware requirements:

No.	Hardware	Minimum	Recommended
1.	Processor	Pentium IV	Core2Duo with 2 GB RAM
2.	RAM	1 GB	2 GB
3.	Hard Disk Space	15 MB and above	30 MB and above
4.	Digital Colour Monitor	15”	20”
5.	Monitor Resolution	1024 x 768	1280 x 800 or higher

Apart from the above, Microsoft Windows Regional Setting should be set to English.

3. GETTING STARTED WITH NEW i*Trade@CIMB

This topic introduces users to the basics of New i*Trade@CIMB. The following sub-topics have been included:

3.1 How to Access

Access www.itradecimb.com.sg webpage

3.2 Subsequently, key in the **User ID** and **Password** as requested in the login section (refer to Figure 3.1) and click on the **Go** button.

3.3 The New i*Trade@CIMB system (refer to Figure 3.2) consists of the following features

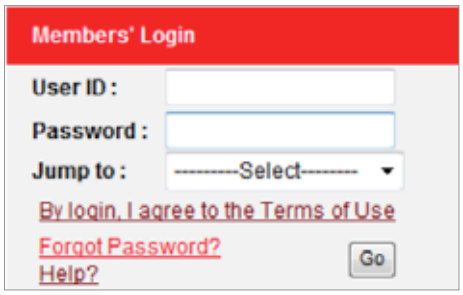

Figure 3.1 Member's Login

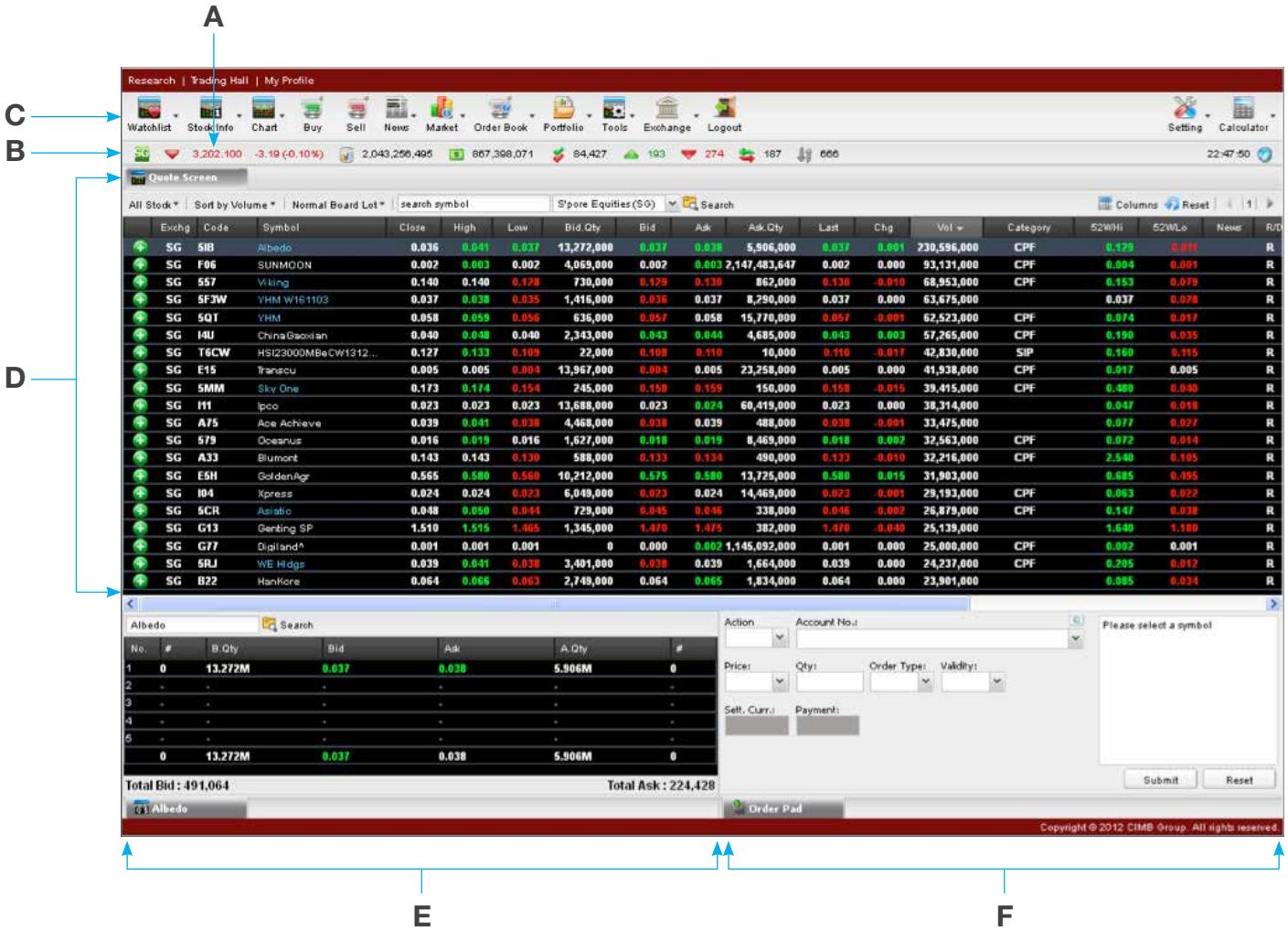

Figure 3.2 New i*Trade@CIMB System

A. Moving Indices

Displays the updates on index counters.

B. Market Summary Bar

This bar displays the summary of the chosen market in statistics and graph. To view the market summary in graph form, simply click on the graph icon. The market summary bar also displays the real-time of the market.

C. Function Menu Bar

Consists of the following icons:

- Watchlist
  This feature allows the user to create, view, rename and delete a favourite stock counter.
- Stock Info
  This feature displays the Stock Info, Market Depth and Stock Tracker.
- Chart
  This feature provides access to Intraday Chart and Analysis Chart.
- Buy
  This feature activates the buy order panel in order pad.
- Sell
  This feature activates the sell order panel in order pad.
- News
  This feature allows the user to view the latest exchange announcements and stock news for the current stock exchange.
- Market
  This feature provides access to Market Summary, Indices and Scoreboard.
- Order Book
  This feature displays the status of all orders placed via the trading platform.
- Portfolio
  This feature displays the stocks holdings of a client.
- Tools
  This feature displays the indicative exchange rates of the various currencies.
- Exchange
  This feature provides access to different stock exchanges.
- Settings
  This feature offers theme setting for the layout of the screen.
- Calculator
  This feature enables the user to calculate the breakeven price and profit/loss.

D. Top Panel (Quote Screen)

Basic columns that may be found at the quote screen are as shown in Table 1.

iTrade@CIMB	Description
Low	Is the lowest transacted price during the trading day. [It is possible this could be the same as the Opening or Closing price].
Bid Qty	The total quantity at the market that want to buy at the Bid price.
Bid	The offering price which investors are willing to sell.
Ask	The asking price which investors are willing to sell.
Ask Qty	The total quantity at the market that want to sell at the Ask price.
Last	The last transacted or traded price.

b/s	Buyer/Seller – To show the last transaction price is taken from the buyer or seller.
Chg	Change – The difference in the current last sale price and the previous day's official closing price.
Chg%	Chg% – The absolute change over the last day's closing price in terms of %.
Vol	Volume – The number of shares or contracts traded in a security during a given period of time.
TOP	Theoretical Opening Price – The price calculated and displayed during the pre-opening and pre-closing phases based on Exchange's predefined formula.
Open	Open Price – The first transacted price for a particular issue during the trading day.
Open Int	Open Interest – The total number of options and/or futures contracts that are not closed or delivered on a particular day. The number of buy market orders before the stock market opens.
LACP	Last Adjusted Closing Price (LACP) – The adjusted price of the stock due to corporate exercise.
L. Vol	Last Traded Volume – The number of shares or contracts traded on last transaction.
Trades	The total number of transactions that had taken place in the given day of the trading.
Sts	Stock Status and Corporate Action – B – Restricted to Buy In N – New W – New with Investor Alert A – Active T – Active with Investor Alert Q – Designated G – Frozen V – Reserve S – Suspend P – Suspend with Investor Alert D – Delisted E – Expired R – Ready H – Halted Y – Delayed X – Shutting Down I – Immediate Delivery L – Pending Listing M – Pending Announcement Z – When Issue C – Conditional Trading U – Conditional When Issue Corporate Action: C: Cum X: Ex

Remark	Exchange or feed provider corporate action codes.
News	Indicate if there is news for the counter. '*' will appear if there is latest news.
TP	Trading Phases for the exchange: SOC: Start of Consultation POC: Pre-Opening OCP: Opening/Closing CPT: Continuous Trading TAL: Trading At Last SIS: Surveillance Intervention EOD: End of Consultation PMS: Post-Session FOR: Forbidden INT: Interrupted
Time	The last transacted time for the given stock.
R/D	Real time or Delay data.
Exchg	The exchange which the counter is listed.
Marginable	If the counter is a marginable counter.
Margin-Price	Marginable price.
Margin Perc.	Marginable percentage.
T. Value	Total Traded Value.

Table 1 Quote Screen Column Description

The quote screen offers the following advantages:

- Column Sorting
  To sort, just click on required column in the quote screen.
- Column Customisation
  To add or remove any columns from the Quote Screen, simply click on the **Columns** button and select or deselect the required column(s) in the list shown.
- Filter By Board
  The quote screen may be filtered by All Stock, Main Market and etc. To filter, simply click on the **All Stock** drop-down menu and select the required board.
- Filter By Market Trend
  The quote screen may be filtered by Gainers, Volume and etc. To filter, simply click on the **Volume** drop-down menu and select the required market trend.
- Filter By Trade Type
  The quote screen may be filtered by Normal Board Lot, Buy In Odd Lot and etc. To filter, simply click on the **Normal Board Lot** drop-down menu and select the required trade type.

- Stock Search
  To perform a stock search, simply key in the stock code or symbol at the text field and click on the Search button next to it.
- Page Navigation
  To view the next page or previous page, simply key in the page number or click on the right or left arrow key at the page navigation section (highlighted in red).

E. Bottom Left Panel

Accommodates the following features:

- Market Depth
  User may view the Bid/Ask price and order quantity for a selected counter.
- Intraday Chart
  The Intraday Chart shows the movement of a counter during the day. It provides details of trading time, price and volume.
- Market Summary
  The Summary shows the market movement in terms volume traded, number of gainers, number of counters unchanged and etc.

F. Bottom Right Panel

Accommodates the following features:

- Order Pad / Order Log / Order Detail
  Refer to Section 6 for more details.
- Stock News
  User may view the latest announcement or stock news for the current stock exchange. By clicking on the link to individual updates, users will be able to view the full detail.

4. VIEWS

This topic introduces users to a variety of market information. The following sub-topics have been included:

4.1 Stock Info

a. To view stock information, first select a counter, and then click on the **Stock Info** icon from the function menu. *Alternative method for PC users only: Right-click on the stock counter and select Stock Info from the short-cut menu*

b. Figure 4.1 shows the stock information (highlighted in red) of the selected counter. The stock info contains all pertaining information of the particular counter together with the historical chart.

Figure 4.1 Stock Info Window

4.2 Intraday Chart

a. To view the Intraday Chart for a counter, select the counter first, and then click on the **Intraday Chart** icon at the **Chart** menu. *Alternative method for PC users only: Right-click on the preferred counter and select Intraday Chart from the short-cut menu.*

b. The Intraday Chart (highlighted in Figure 4.2) shows the movement of a counter during the day. It provides details of trading time, price and volume.

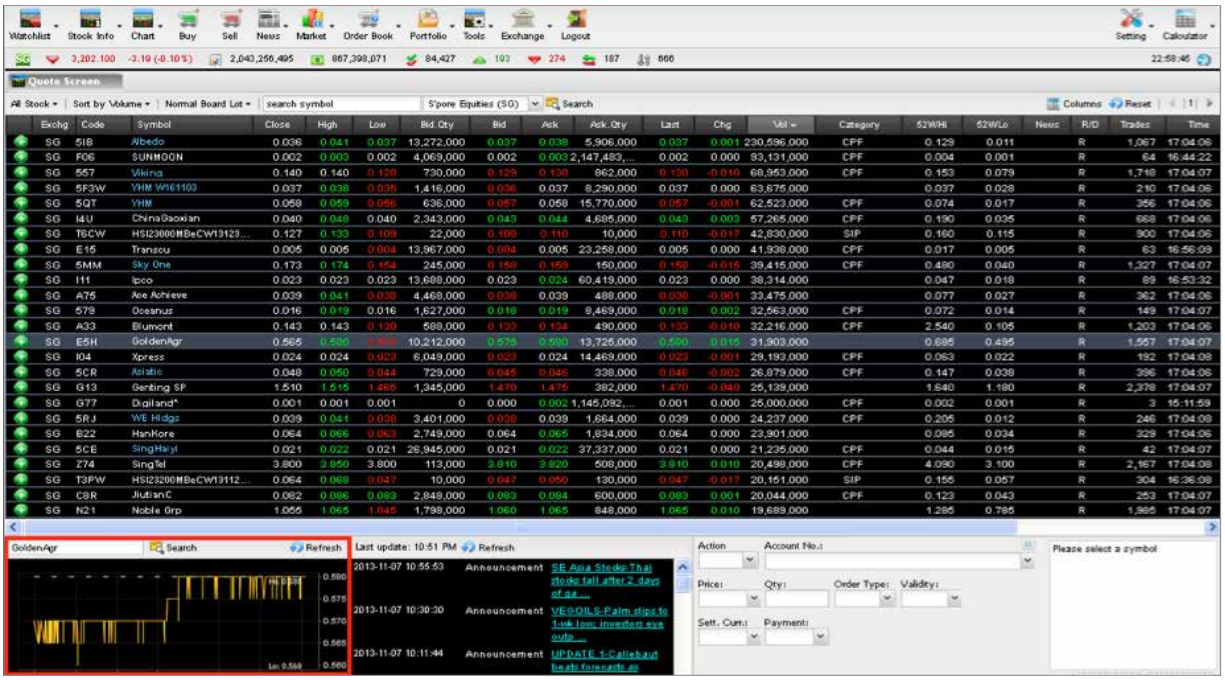

Figure 4.2 Intraday Chart

4.3 Market Summary

a. To view the Market Summary, click on the Market menu and choose **Summary**.

b. The Market Summary (highlighted in Figure 4.3) shows the market movement in terms volume traded, number of gainers, number of counters unchanged and etc.

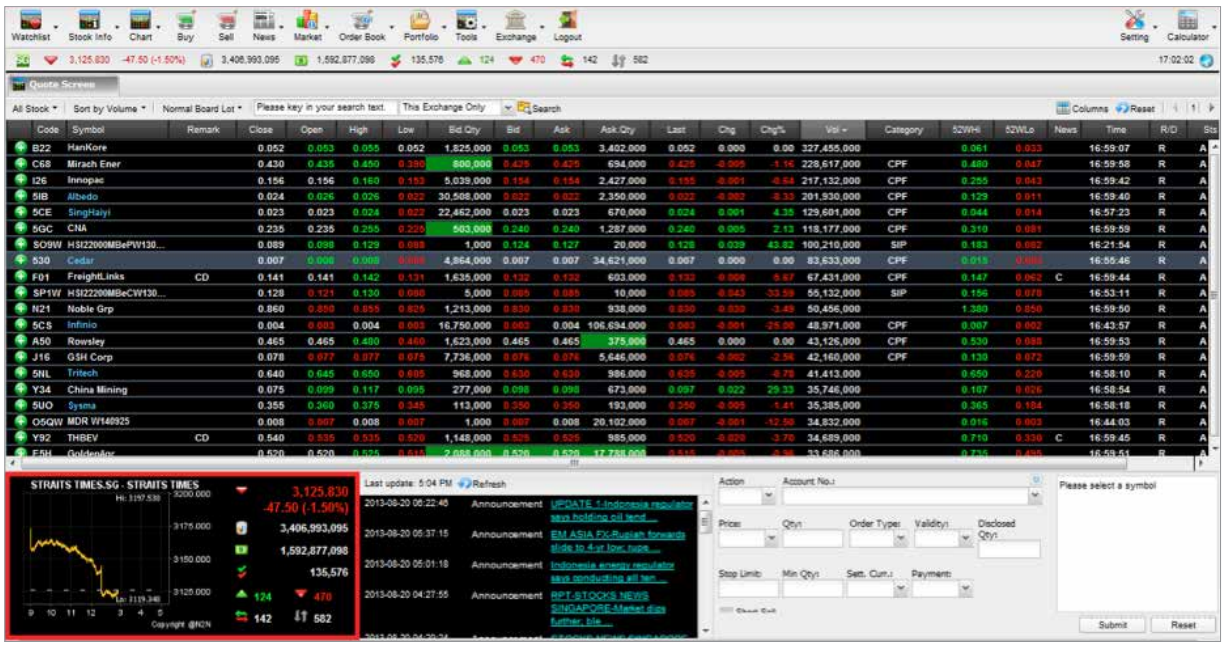

Figure 4.3 Market Summary

4.4 Announcements

a. To view the news updates from the stock exchange, click on the **News** icon followed by **Announcements** from the dropdown menu.

b. The announcements section (highlighted in Figure 4.4) shows the announcement headlines. To view the announcements in detail (as highlighted in Figure 4.5), simply click on the required headline.

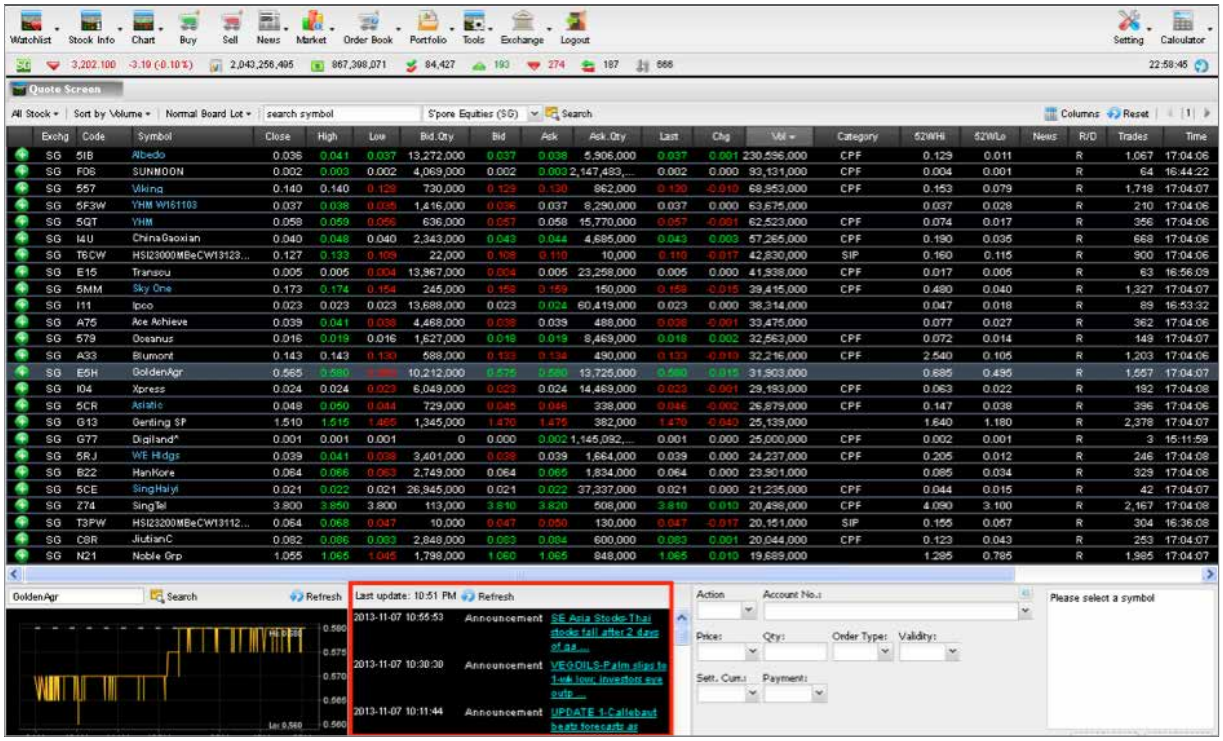

Figure 4.4 Announcements

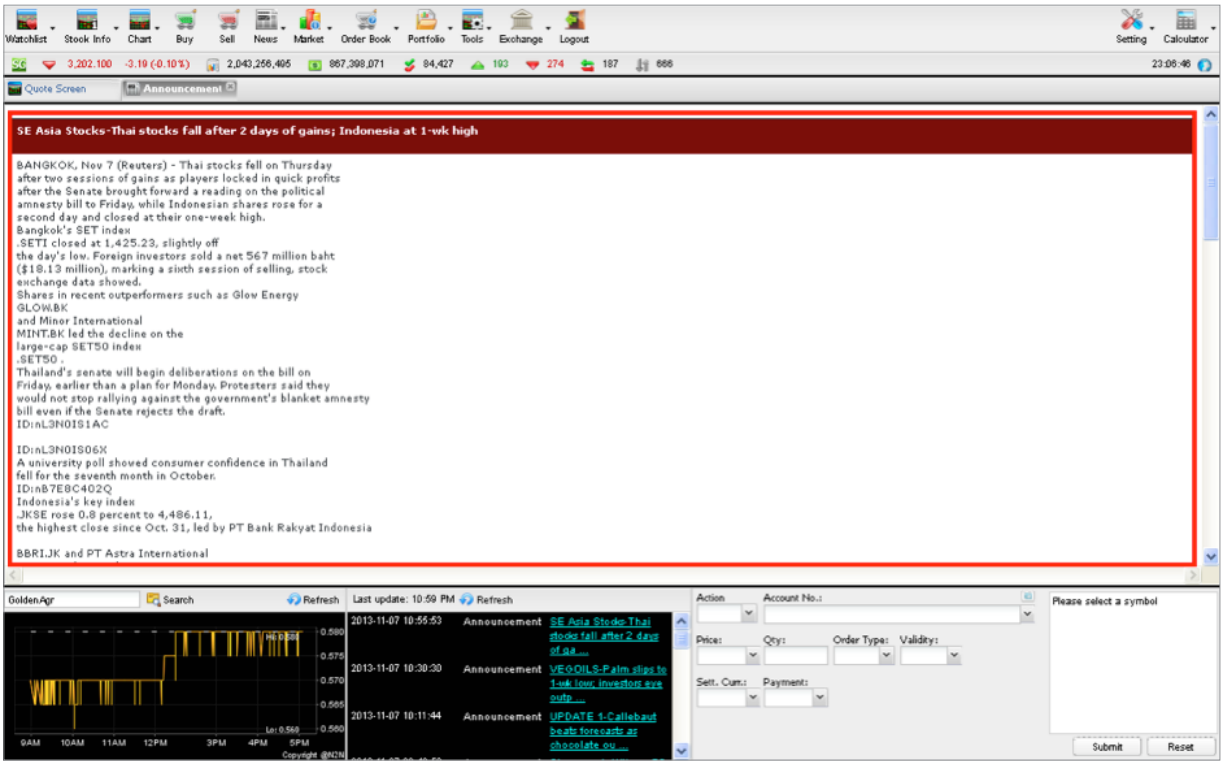
SE Asia Stocks-Thai stocks fall after 2 days of gains; Indonesia at 1-wk high
BANGKOK, Nov 7 (Reuters) - Thai stocks fell on Thursday after two sessions of gains as players locked in quick profits after the Senate brought forward a reading on the political amnesty bill to Friday, while Indonesian shares rose for a second day and closed at their one-week high.
Bangkok's SET index .SETI closed at 1,425.23, slightly off the day's low. Foreign investors sold a net 567 million baht ($18.13 million), marking a sixth session of selling, stock exchange data showed.
Shares in recent outperformers such as Glow Energy GLOW.BK and Minor International MINT.BK led the decline on the large-cap SET50 index .SET50 .
Thailand's senate will begin deliberations on the bill on Friday, earlier than a plan for Monday. Protesters said they would not stop rallying against the government's blanket amnesty bill even if the Senate rejects the draft.
ID:nL3N0IS1AC
ID:nL3N0IS06X
A university poll showed consumer confidence in Thailand fell for the seventh month in October.
ID:nB7E8C402Q
Indonesia's key index .JKSE rose 0.8 percent to 4,486.11, the highest close since Oct. 31, led by PT Bank Rakyat Indonesia BBRI.JK and PT Astra International

Figure 4.5 Announcement Details

4.5 Stock News

a. To view the news updates from the stock exchange, click on the **News** icon and select **Stock News**. *Alternative method for PC users only, right-click and select **Stock News** for short-cut menu.*

b. The news section (highlighted in Figure 4.6) shows the news headlines for the selected counter. To views the news in detail (as highlighted in Figure 4.7), simply click on the required headline.

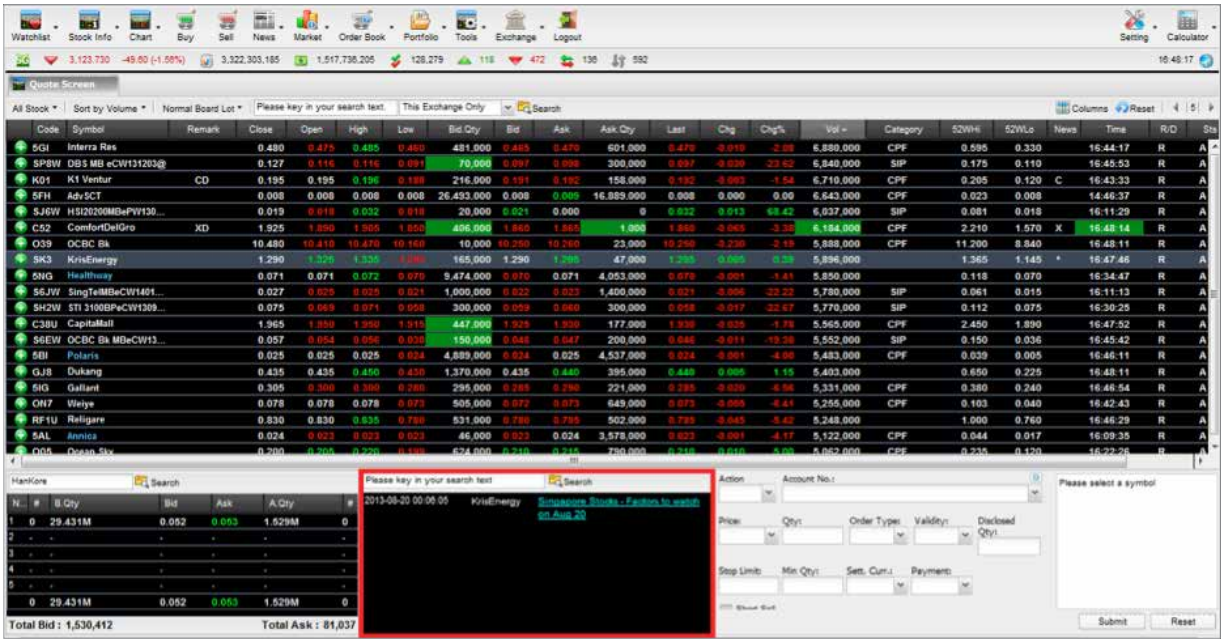

Figure 4.6 Stock News

4.6 Fundamental

a. To screen for news updates Thomson Reuters, click on the **News** icon and select **Fundamental (Thomson Reuters)** accordingly. *Alternative method for PC users only, right-click and select accordingly from the short-cut menu.*

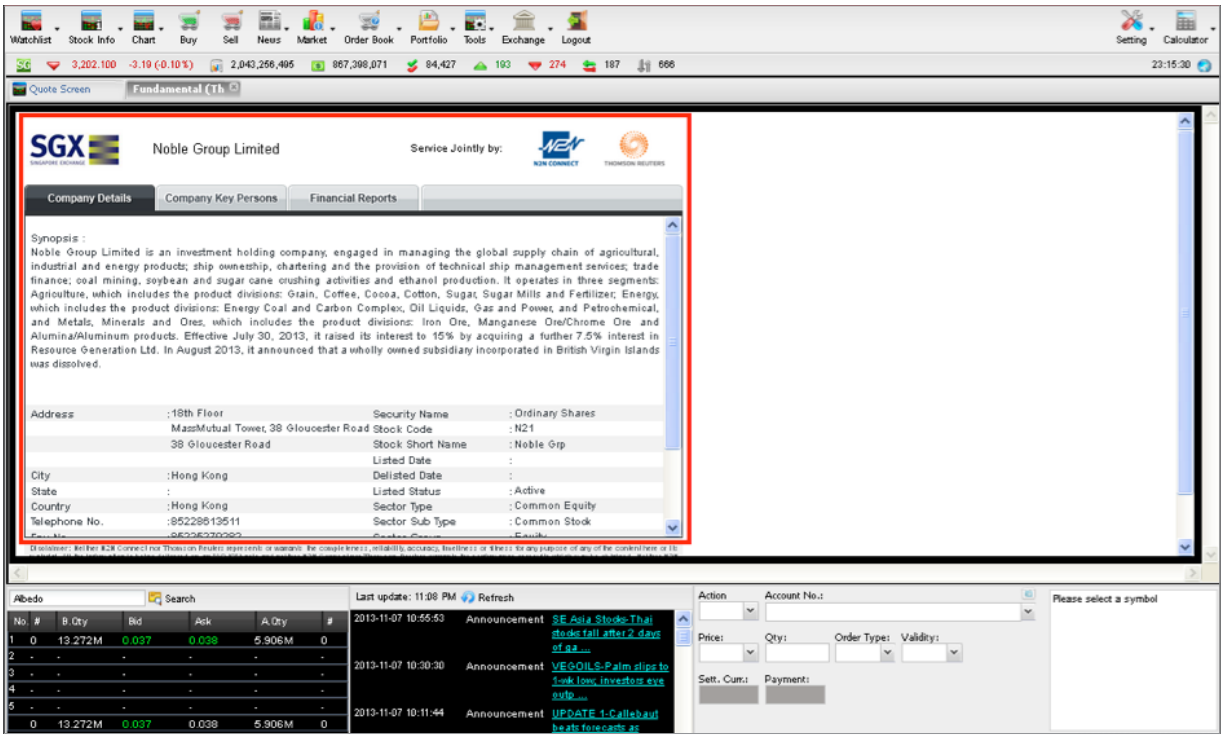
Noble Group Limited
Service Jointly by:
Company Details
Company Key Persons
Financial Reports
Synopsis :
Noble Group Limited is an investment holding company, engaged in managing the global supply chain of agricultural, industrial and energy products; ship ownership, chartering and the provision of technical ship management services; trade finance; coal mining, soybean and sugar cane crushing activities and ethanol production. It operates in three segments: Agriculture, which includes the product divisions: Grain, Coffee, Cocoa, Cotton, Sugar, Sugar Mills and Fertilizer; Energy, which includes the product divisions: Energy Coal and Carbon Complex, Oil Liquids, Gas and Power, and Petrochemical, and Metals, Minerals and Ores, which includes the product divisions: Iron Ore, Manganese Ore/Chrome Ore and Alumina/Aluminum products. Effective July 30, 2013, it raised its interest to 15% by acquiring a further 7.5% interest in Resource Generation Ltd. In August 2013, it announced that a wholly owned subsidiary incorporated in British Virgin Islands was dissolved.
Address : 18th Floor, MassMutual Tower, 38 Gloucester Road, 38 Gloucester Road
City : Hong Kong
State :
Country : Hong Kong
Telephone No. : 85228613511
Security Name : Ordinary Shares
Stock Code : N21
Stock Short Name : Noble Grp
Listed Date :
Delisted Date :
Listed Status : Active
Sector Type : Common Equity
Sector Sub Type : Common Stock

Figure 4.7 Fundamental

5. FAVOURITES

This topic explains the use of another feature called Watchlist. This feature allows a user to manage favourite stock counters. Favourite counters can be stored at the server. The following sub-topics have been included:

5.1 How To Create And Maintain A Watchlist

a. To add a new watchlist, do the following:

i. Click on the **Watchlist** menu and select **Create Watchlist**.

ii. Key in the watchlist name at the Create Watchlist window (Figure 5.1) and click on the **OK** button.

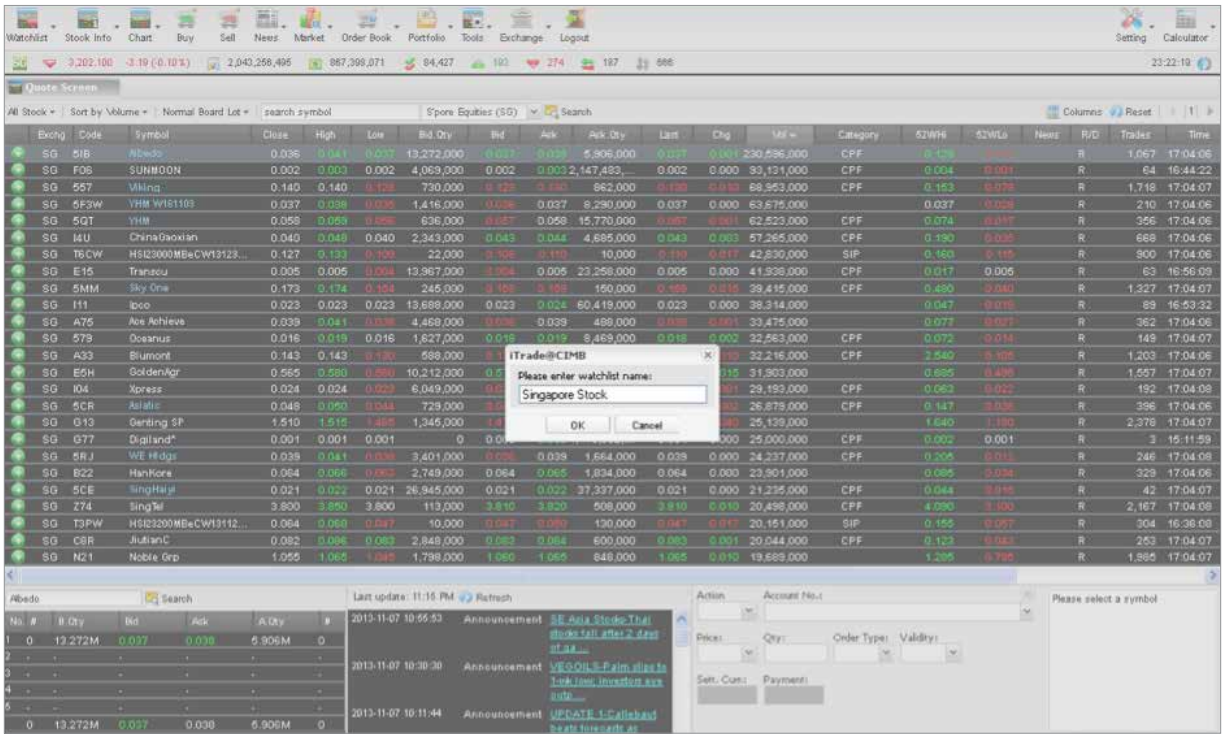

Figure 5.1 Create Watchlist

iii. A system message will be prompted, as shown in Figure 5.2. Click on the **OK** button to close the window.

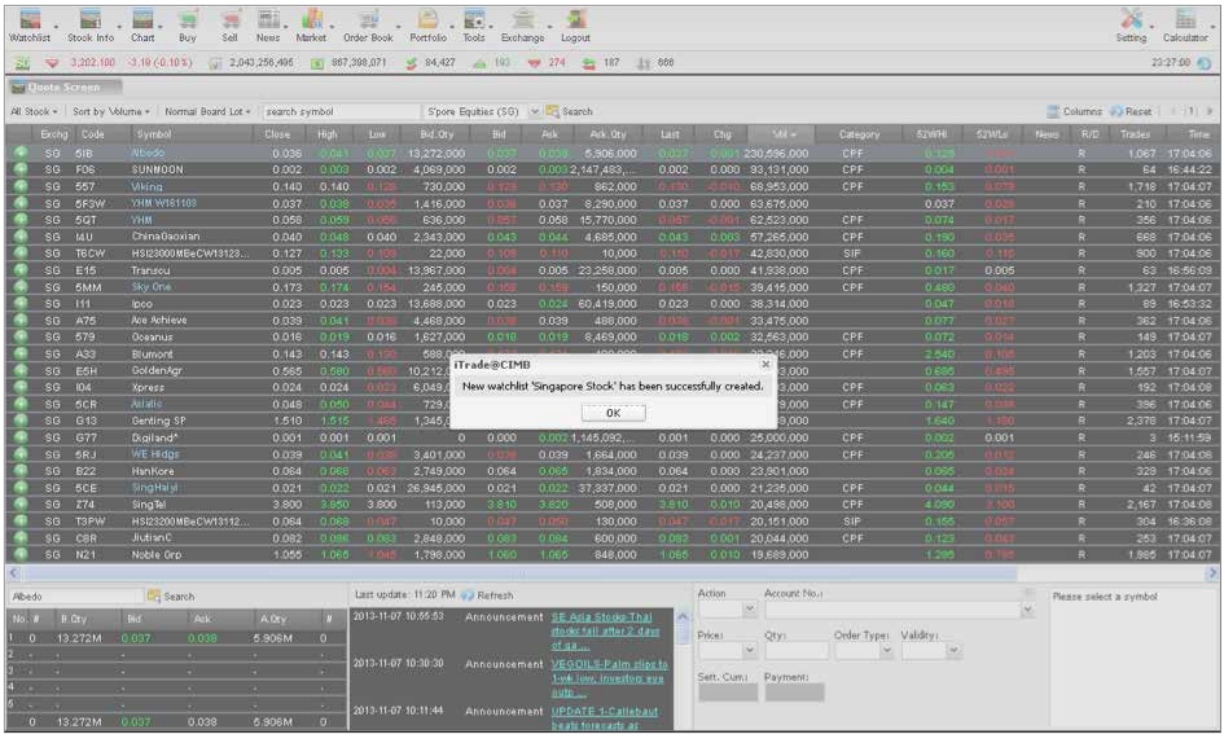

Figure 5.2 System Prompt

b. To delete a watchlist, do the following:

i. Click on the **Watchlist** menu, then go to **Delete Watchlist** and select the watchlist to be deleted (as shown in Figure 5.3).

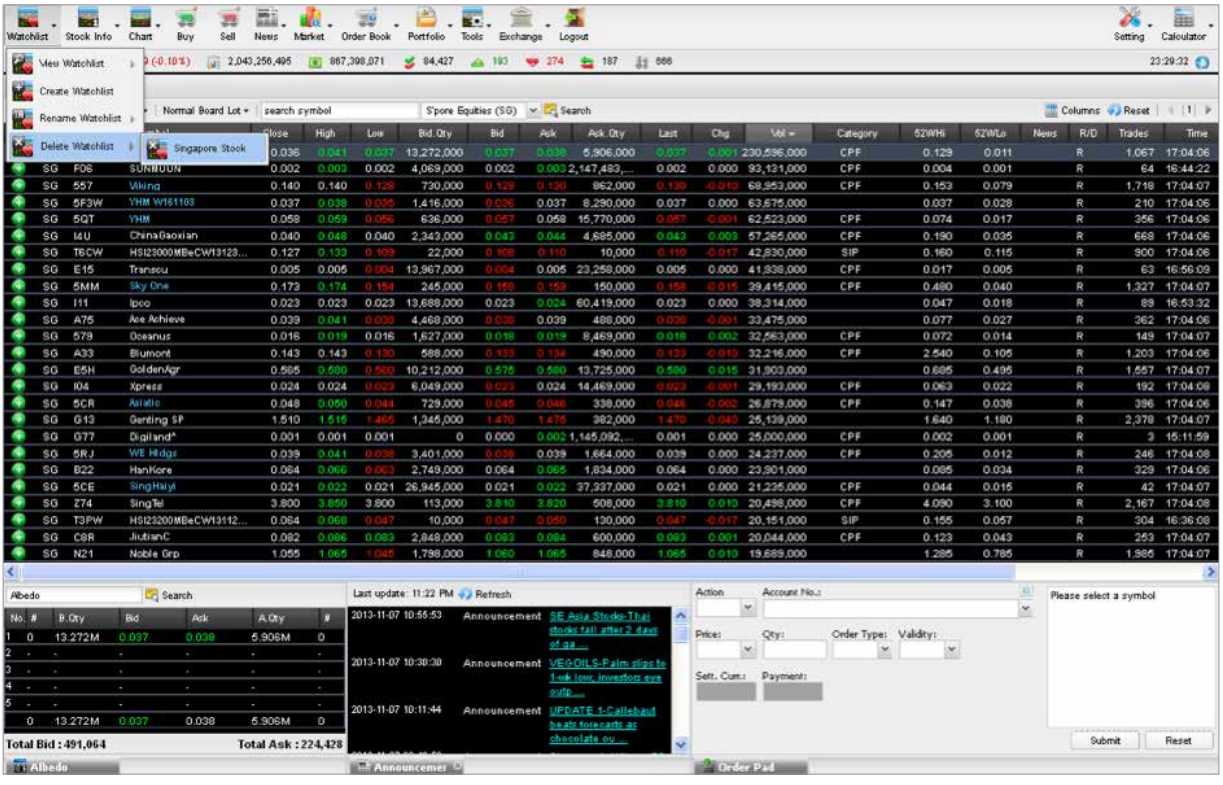

Figure 5.3 Delete Watchlist

ii. The Remove Watchlist confirmation (Figure 5.4) will be prompted. Click on the **Yes** button to proceed.

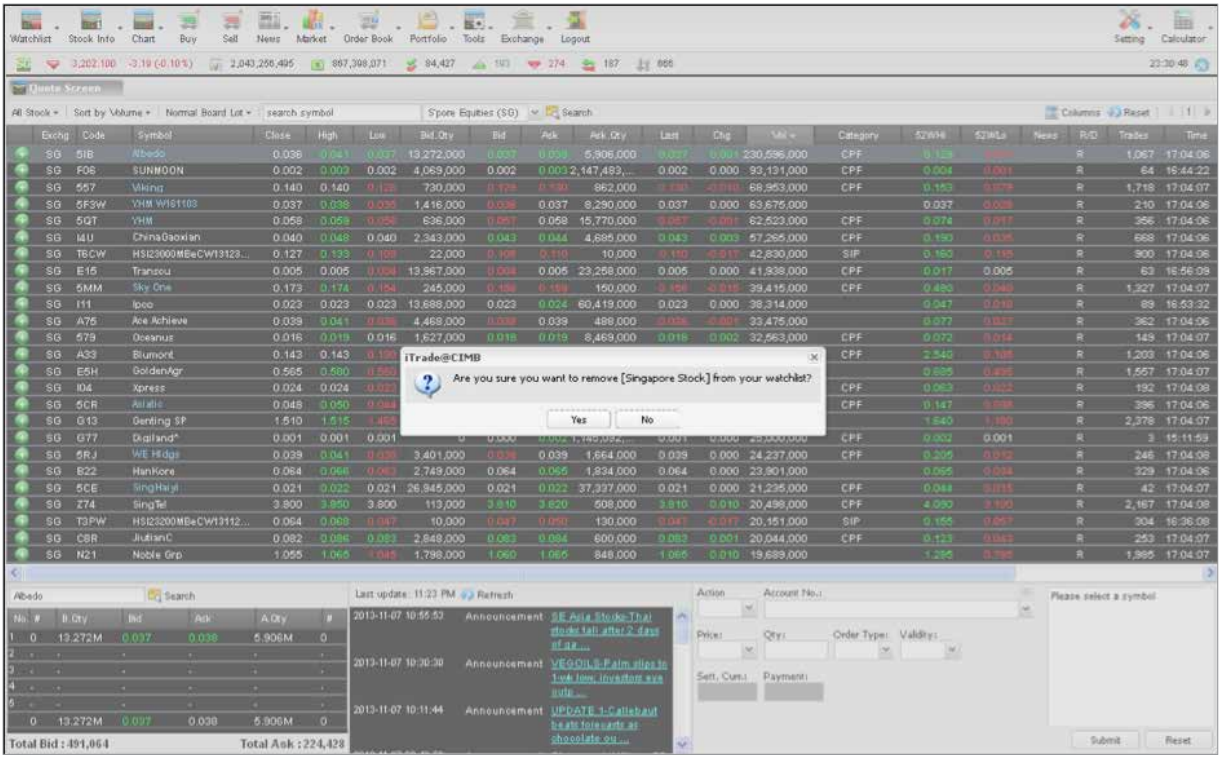

Figure 5.4 Remove Watchlist

iii. A system message will be prompted, as shown in Figure 5.5. Click the **OK** button to close the window.

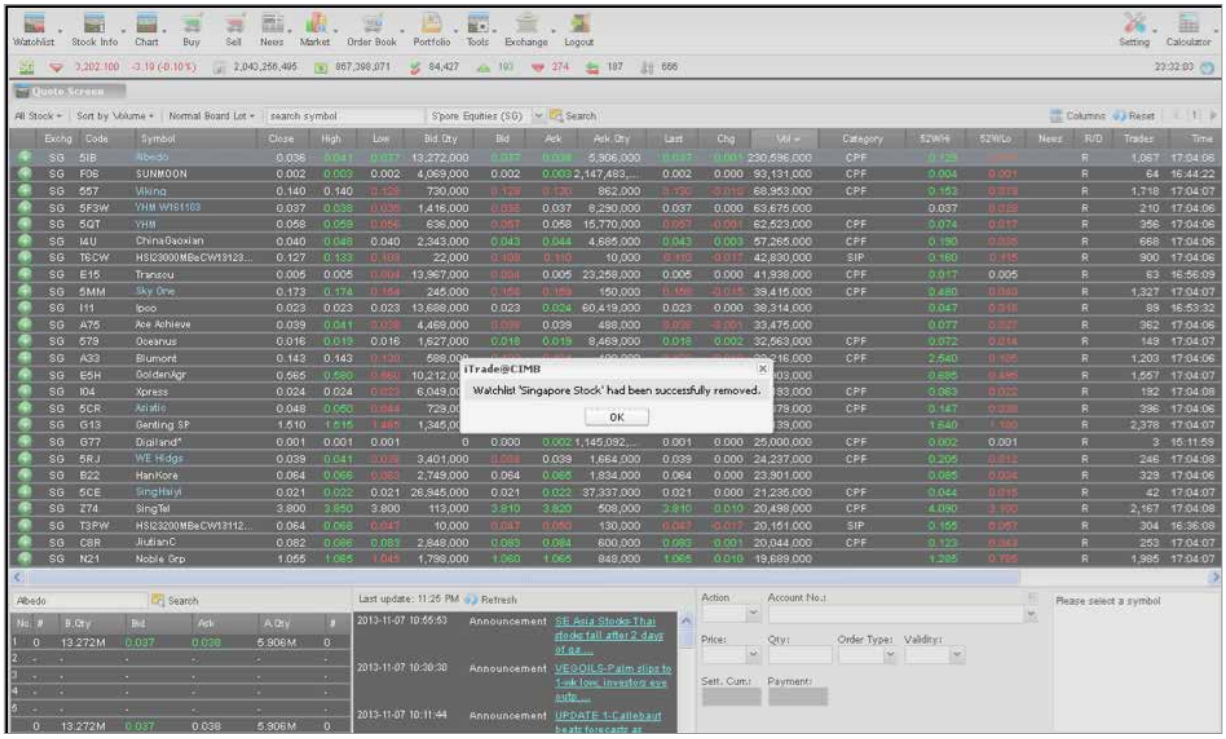

Figure 5.5 System Prompt

c. To rename a watchlist, do the following:

i. Click on the **Watchlist** menu, then go to **Rename Watchlist** and select the watchlist to be renamed (as shown in Figure 5.6).

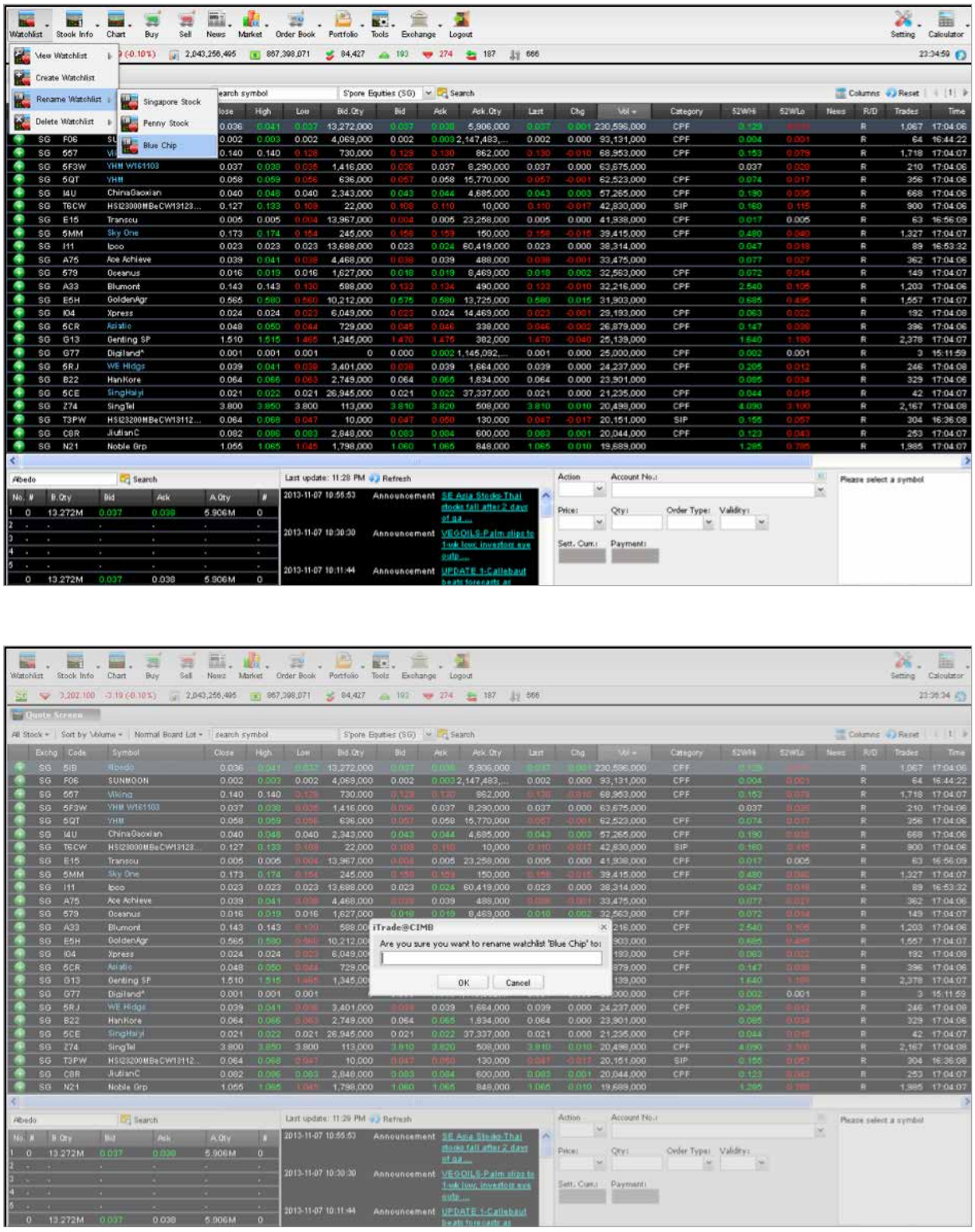

Figure 5.6 Rename Watchlist

ii. The Rename Watchlist window (Figure 5.7) will be prompted. Key in the new watchlist name and then click on the **OK** button to proceed.

iii. A system message will be prompted, as shown in Figure 5.7. Click on the **OK** button to close the window.

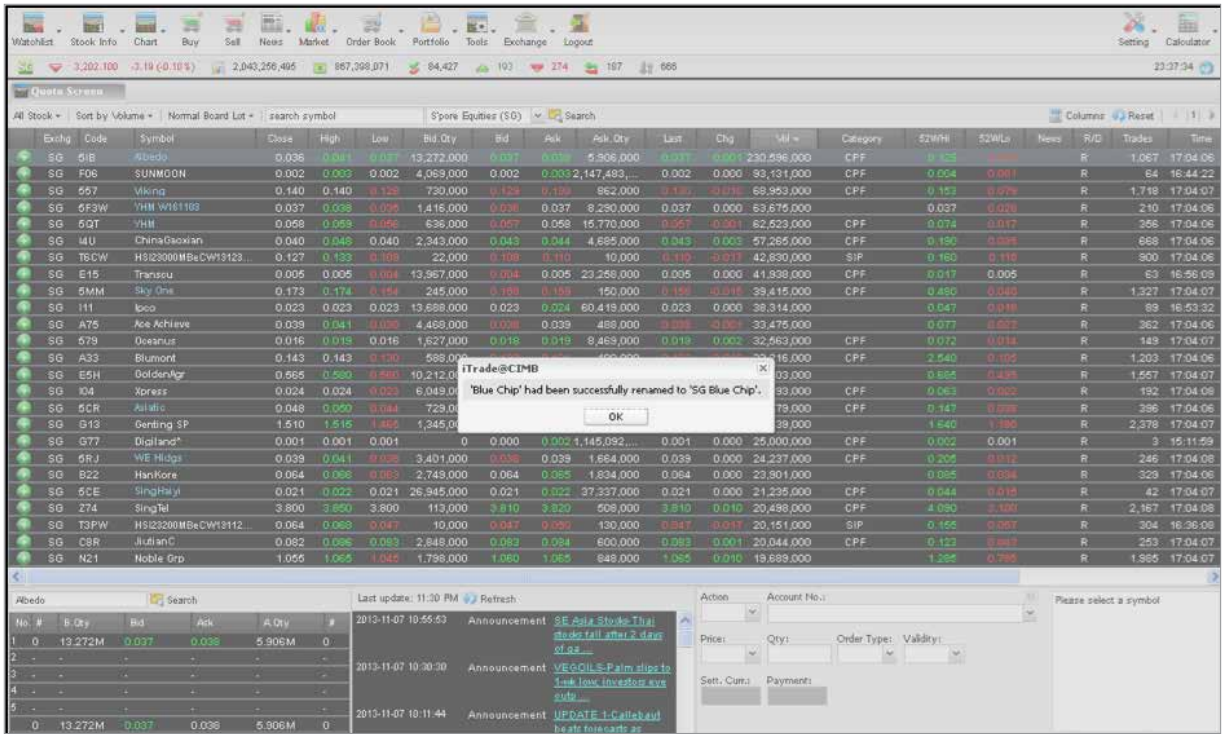

Figure 5.7 System Prompt

d. To view a watchlist, simply click on the **Watchlist** menu, then go to **View Watchlist** and select the watchlist to be loaded (as shown in Figure 5.8).

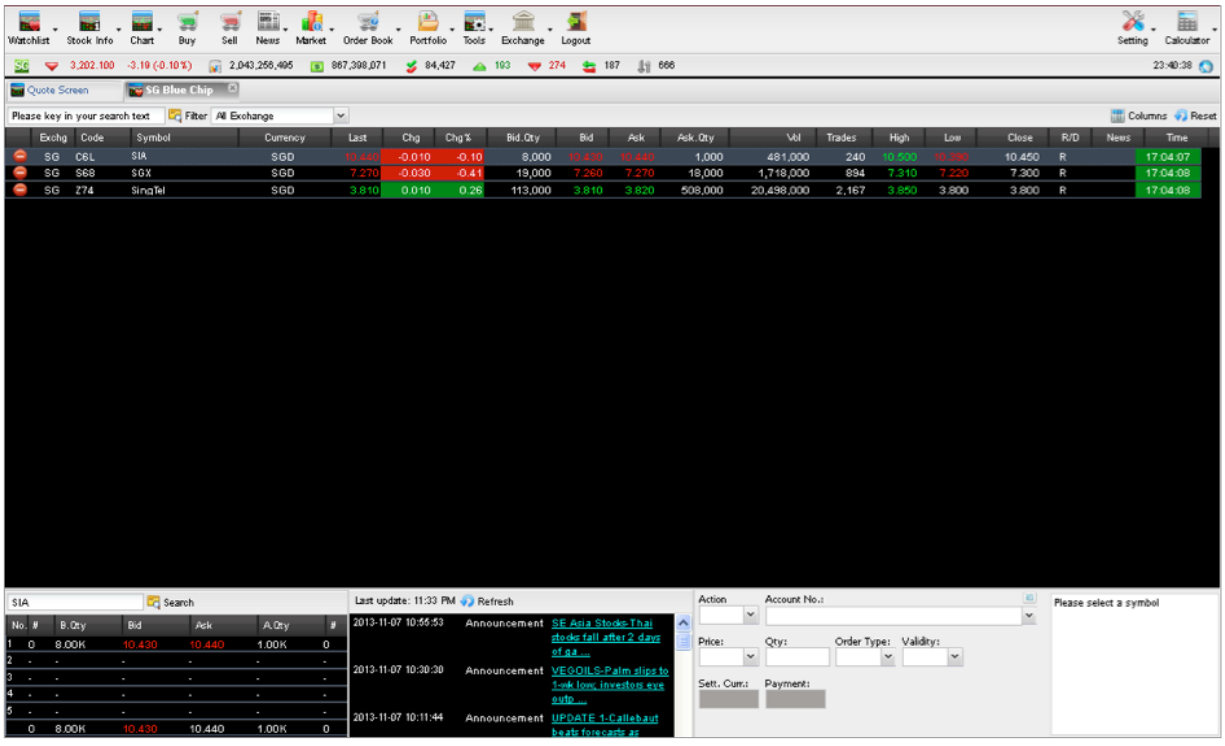

Figure 5.8 View Watchlist

5.2 How To Add And Remove A Favourite Stock

a. To add a stock counter to a watch list, follow the steps below:

i. Click on the required stock counter first.

ii. Next, click on the corresponding add icon (highlighted in Figure 5.9) to open the **Add to Watchlist** window.

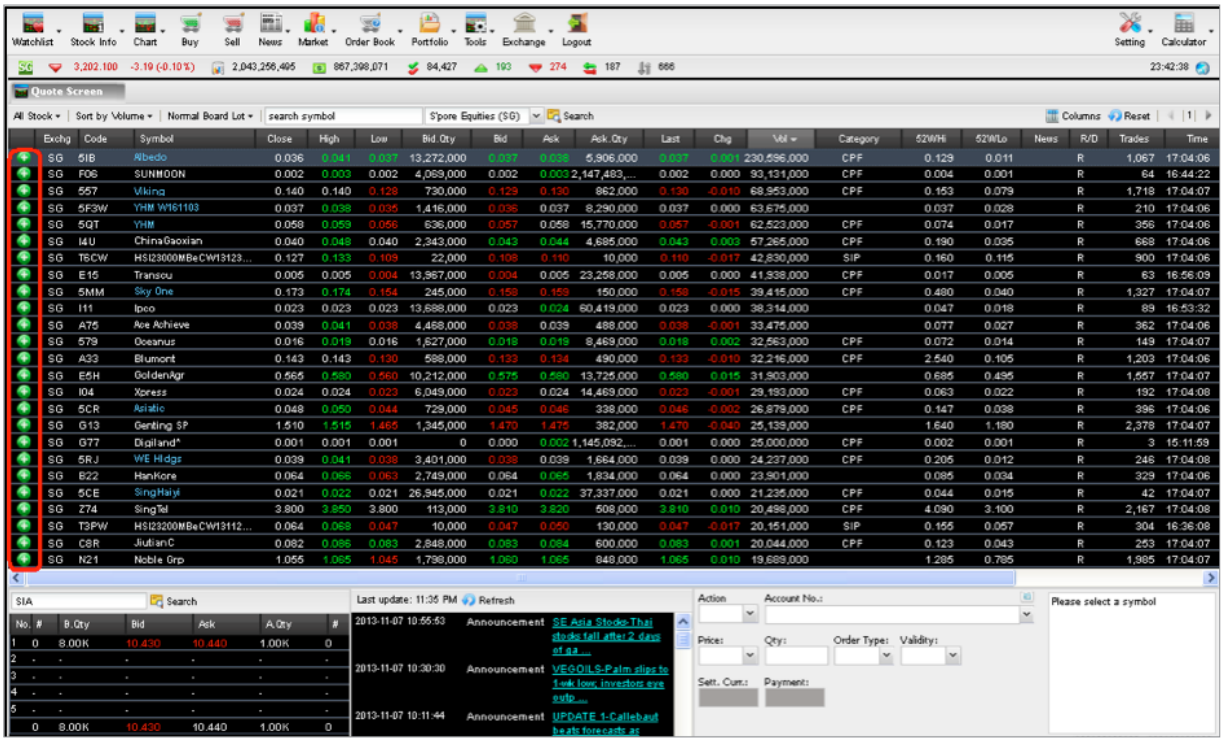

Figure 5.9 Add to Watchlist

iii. Then click on the Watchlist drop-down menu and select the required watchlist, as shown in Figure 5.10). Subsequently click on the **Add** button.

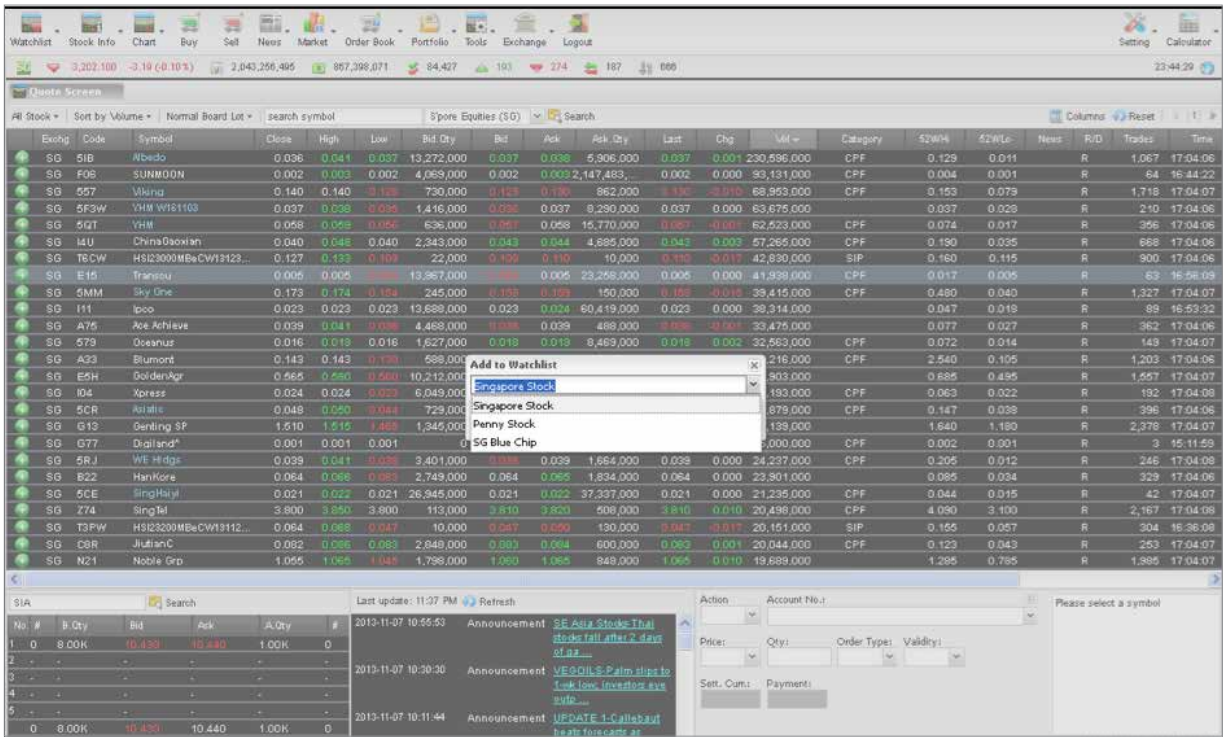

Figure 5.10 Add to Watchlist

iv. Upon successfully adding the counter to the watchlist, the system will prompt a message, as shown in Figure 5.11.

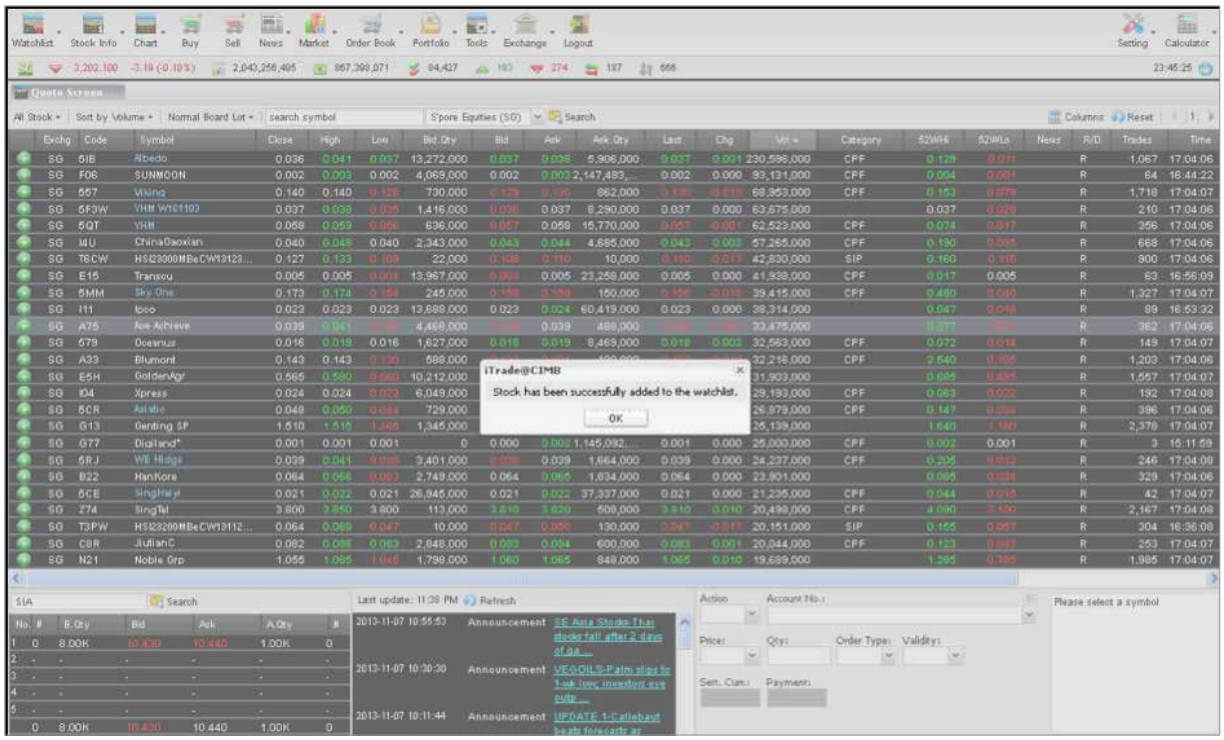

Figure 5.11 Message Prompt

b. To remove a counter from a watchlist, follow the steps below:

i. Open the required watchlist first using the **View Watchlist** option under the **Watchlist** menu.

ii. Next, select the counter to remove and then click on the corresponding remove icon (highlighted in Figure 5.12).

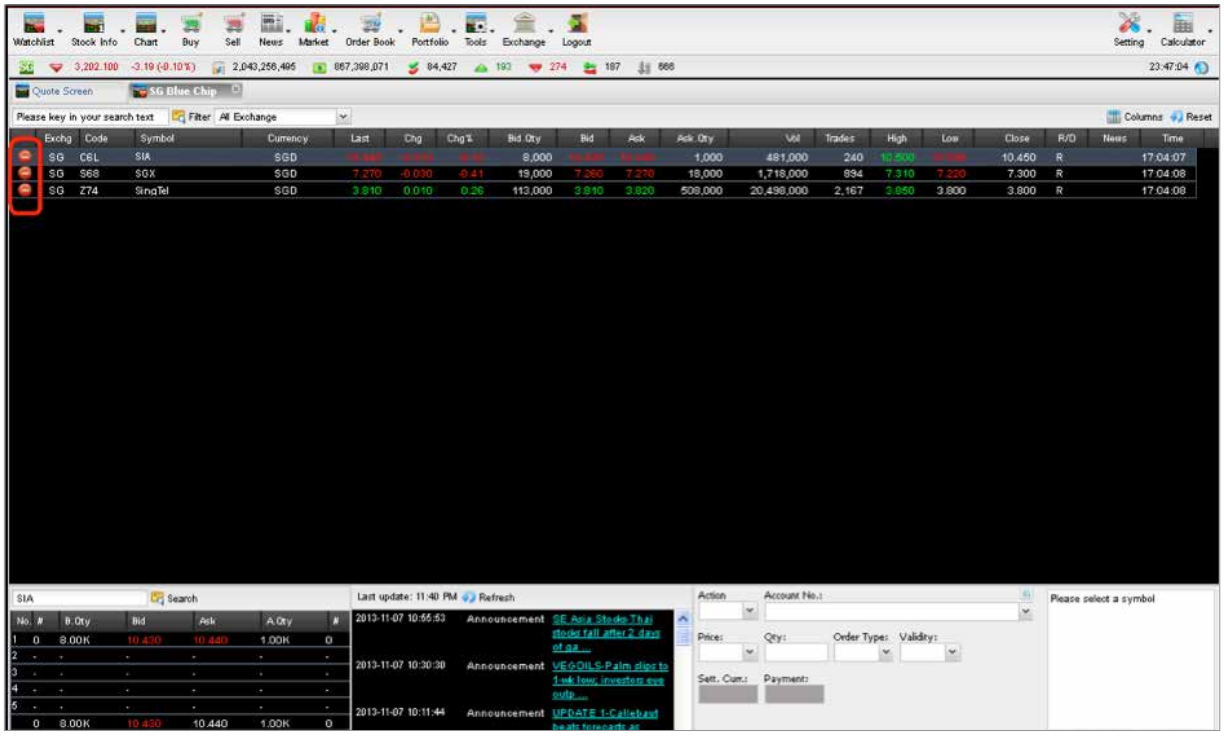

Figure 5.12 Remove from Watchlist

iii. The system will prompt a confirmation message as shown in Figure 5.13. Click on the **Yes** button to proceed.

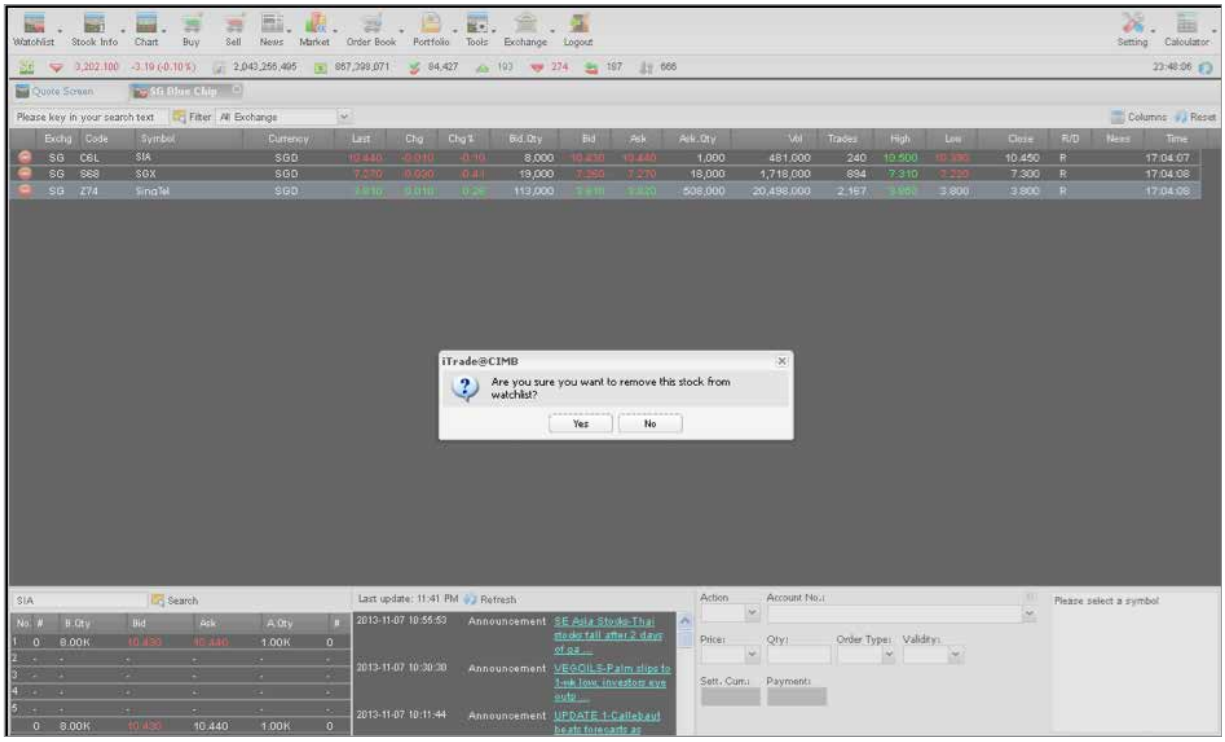

Figure 5.13 System Prompt

iv. Upon successfully removing the counter from the watchlist, the system will prompt a message, as shown in Figure 5.14.

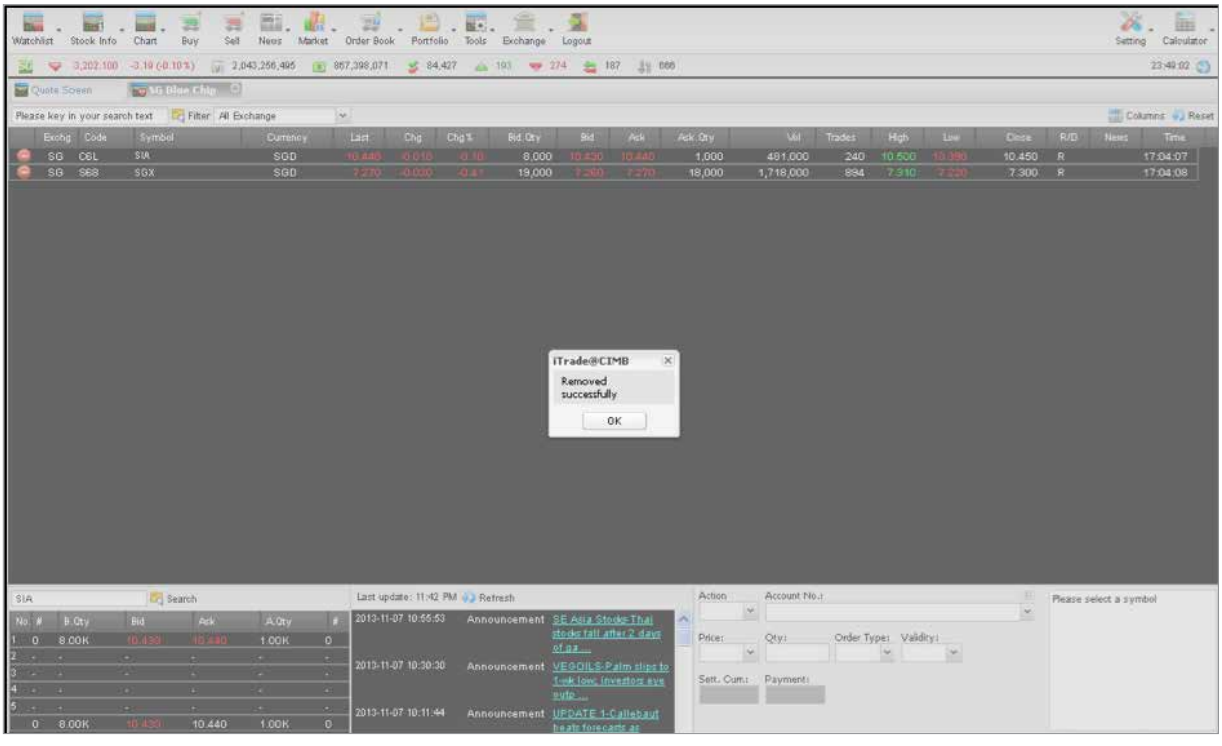

Figure 5.14 System Confirmation Message

6. START TRADING

This topic introduces the order pad and the usage method. The following sub-topics have been included:

6.1 Basics of Order Pad

a. An order is created using the Order Pad. Figure 6.1 is an example of a Buy Order Pad whereas Figure 6.2 is an example of a Sell Order Pad.

Figure 6.1 Buy Order Pad

Figure 6.2 Sell Order Pad

The following details are required at the Order Pad:

- Action
  Click on the Action drop-down menu and select the action type (Buy or Sell).
- Account No.
  Click on the Account drop-down menu and select the right trading account number.
- Validity
  Click on the Validity drop-down menu and select the order criteria (Day, GTD, GTM, FAK, and FOK).

  Day: A day order is an order that is good for the day only. The order will be automatically expired if not executed on the day the order was placed.

  GTD: Long dated order allows market participants to place an order that will stay in the order book until it is fully filled, specifically cancelled, or the instrument is de-listed or expired. It has a validity to select of up to 30 days.

  GTM: Long dated order allows market participants to place an order that will stay in the order book until it is fully filled, specifically cancelled, or the instrument is de-listed or expired. It has a validity for 30 days.

FAK: Order shall be matched with as much quantity as possible at the given price and the remainder shall be cancelled. The order is not stored in the order book. Order log will show that this as an unsolicited cancel order.

FOK: FOK is an immediate order. Order must be matched with the entire quantity at the specified price or completely cancelled. The order is not stored in the order book. Order log will show that this is an unsolicited cancel order.

- Order Type
  Click on the Order Type drop-down menu and select the order type (Limit order, Market Order, Market On Opening Order, Stop Order or Market To Limit Order).
- Short Sell
  This is applicable to SGX market only. Short selling in respect of securities is the sale of securities that the seller does not own at the time of the sale, short selling may either be: 'covered' or 'uncovered' (also referred to as 'naked' short selling). In 'covered' short selling, at the time of the sale, the seller has borrowed the securities or has otherwise made arrangements to fulfil his obligation to deliver the securities. In 'uncovered' or 'naked' short selling, at the time of the sale, the seller is not in possession of securities or has not otherwise made arrangements to meet his delivery obligation.
- Qty x 1
  Key in the quantity.
- Price
  Define the trading price.

b. The right-hand section displays trade information such as the stock counter, action type, value when a buy or sell counter is selected.

c. Skip Confirmation is another feature that provides an option for the user to receive or not to receive an order confirmation prompt. To receive the confirmation, simply click on the Skip Confirmation checkbox highlighted in red in the buy and sell order pads shown above.

6.2 How To Create A Buy Order

a. First, choose the **Exchange** and then select the required stock counter.

b. Next, click on the **Buy** button and do the following at the Order Pad (as shown in Figure 6.3):

- Define the **Price**, **Qty**, **Order Type** and **Validity**.
- Then click on the **Buy** button. This in turn, prompts the **Order Confirmation** message (as shown in Figure 6.4).

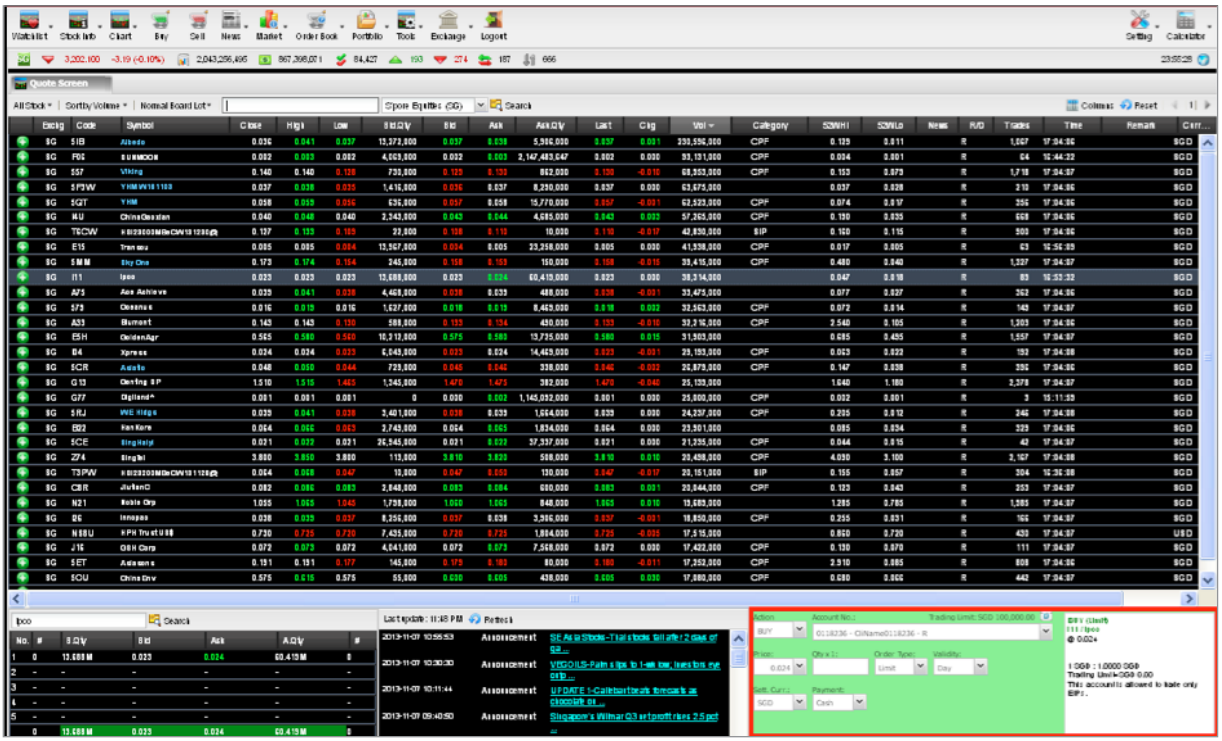

Figure 6.3 Buy Order Pad

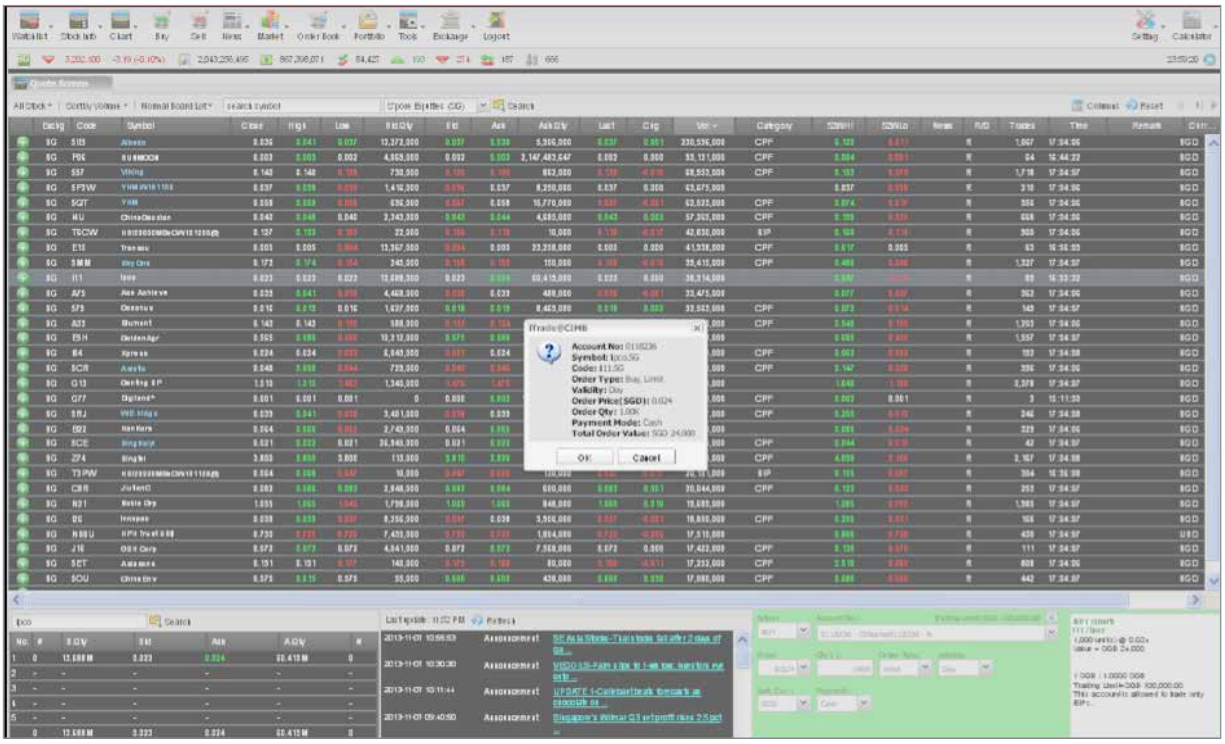

Figure 6.4 Order Confirmation

6.3 How To Create A Sell Order

a. First, choose the **Exchange** and then select the required stock counter.

b. Next, click on the **Sell** button and do the following at the Order Pad (as shown in Figure 6.5):

- Define the **Price**, **Qty**, **Order Type** and **Validity**.
- Then click on the **Sell** button. This in turn, prompts the **Order Confirmation** message (as shown in Figure 6.6).
- Subsequently, click on the **OK** button to proceed with the order.

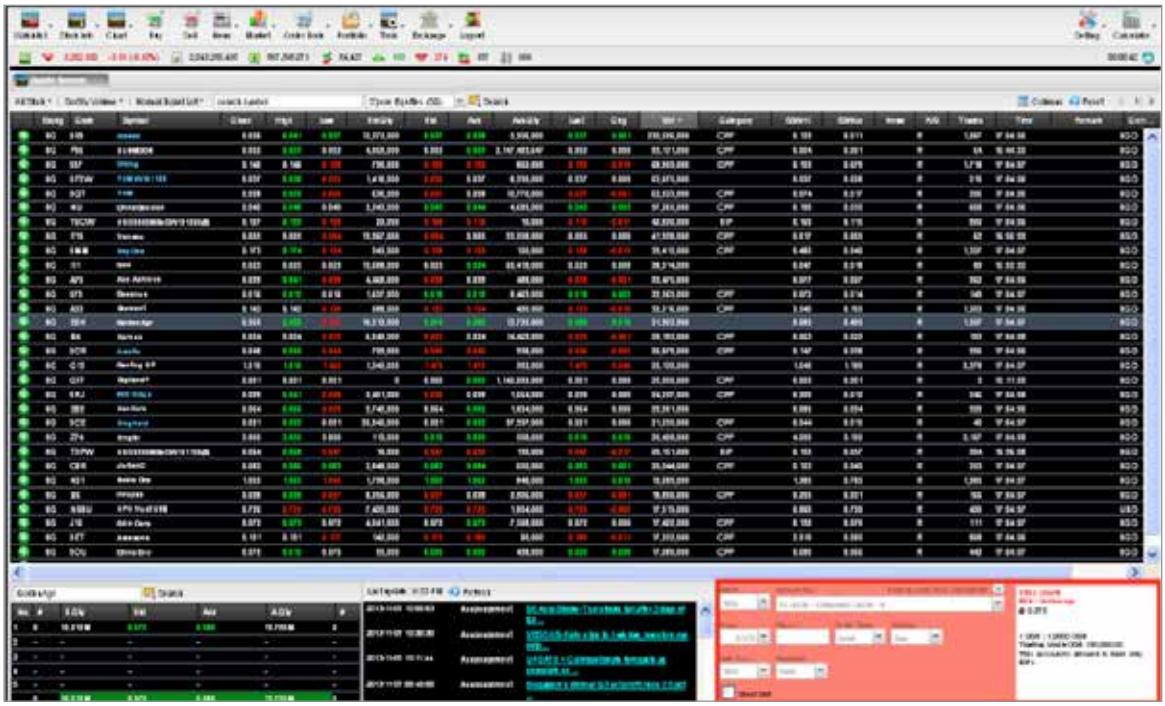

Figure 6.5 Sell Order Pad

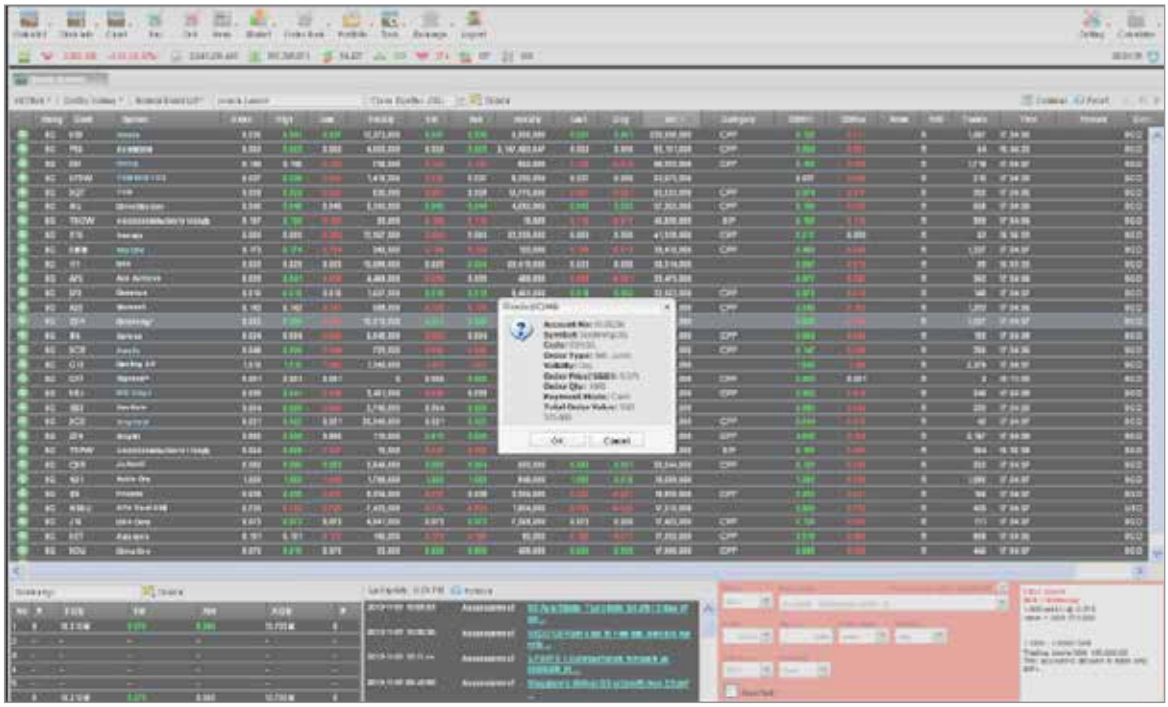

Figure 6.6 Order Confirmation

7. ORDER MANAGEMENT

This topic explains order management features. The following sub-topics have been included:

7.1 Order Tracking

a. The status of an order may be tracked using the Order Book feature (Figure 7.1). To access it, simply click on the **Order Book** icon from the Menu Bar.

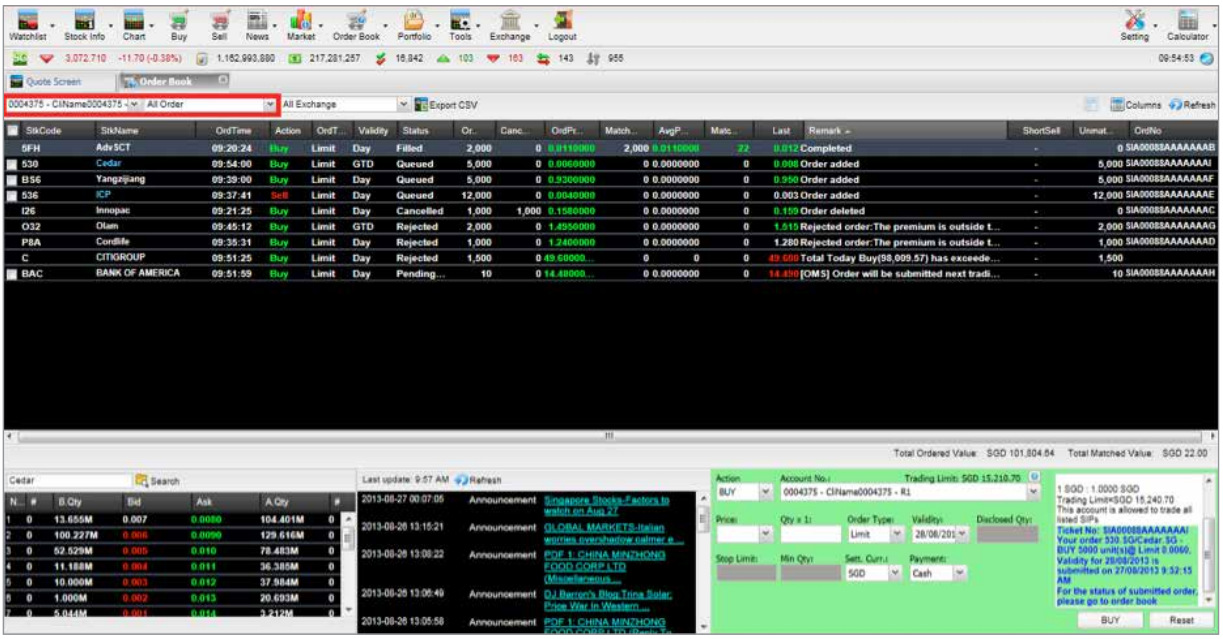

Figure 7.1 Order Book

b. The following filters (as highlighted in red) have been added to refine the order status display:

i. Account No

Click to select the account.

ii. Order Status

Click to select the order status. The order status may fall under any one of these:

- All Order

  Consist of Active, Filled, Inactive and Open orders

- Active

  Queued, **Partially Filled**, **Replaced**, **Pending Cancel** and **Pending Replaced** in market (exchange) during trading hour including pre-open and pre-close.

- Filled

  An order to buy or sell a security that gets executed and placed into an account with **Partially Filled** and **Filled**.

- Inactive

  Order that are **Cancelled**, **Rejected**, **Suspended** and **Expired**, including unsolicited cancelled by exchange.

- Open

  Outstanding order such as **Pending Release** and **Pending Queue** including Active order.

c. To view the order details of an order (as highlighted in Figure 7.2), do the following:
   - Select the order first, from the Order Book.
   - Then right-click and select the **Order Detail** option from the short-cut menu (applicable for PC users only). As for iPad users, simply click on the **View Detail** button adjacent to the Credit Limit Balance.

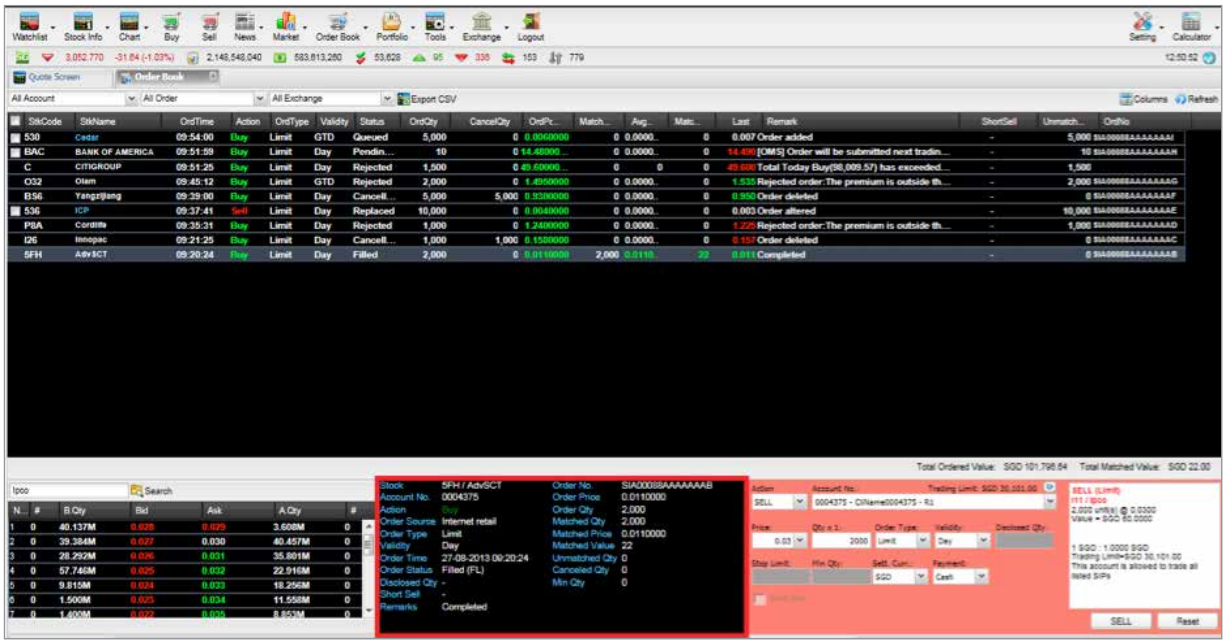

Figure 7.2 Order Detail

d. To open the portfolio in MS Excel or to save in MS Excel format, simply click on the **Export CSV** icon. (This feature is not available for iPad).

7.2 Revising An Order

a. An order may be revised at the Order Book. In order to do so, first open the Order Book.

b. Next select an order, then right-click (applicable for PC users only) and select the **Revise** option from the short-cut menu to open the corresponding order at the Order Pad. iPad users need to single-click an order only to open the corresponding order at the Order Pad. The default action at the Order Pad is Revise.

c. Subsequently, key in the new quantity and click on the **Revise** button (Figure 7.3).

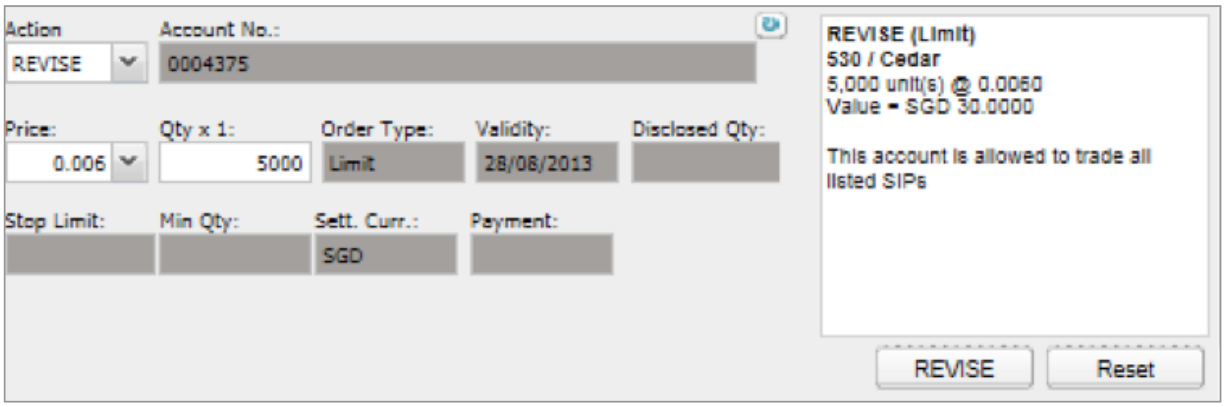

Figure 7.3 Revise Order

d. This in turn, prompts the **Revise Confirmation** prompt (as shown in Figure 7.4). Click on the **OK** button to proceed.

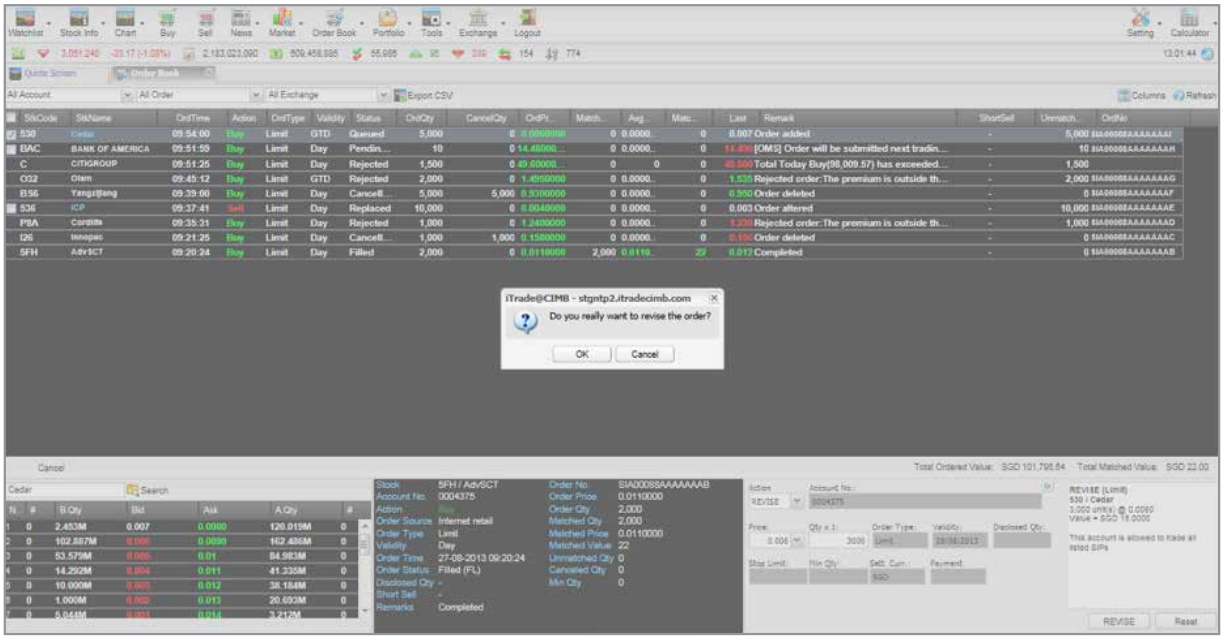

Figure 7.4 Confirmation Prompt for Revise Order

7.3 Cancelling An Order

a. An order is cancelled at the Order Book. An order may be cancelled provided it is not fully matched.

b. To cancel a single order, select the order to be cancelled first, then do the following:

- Then right-click (applicable for PC users only) and select the **Cancel** option from the short-cut menu to open the corresponding order at the Order Pad (Figure 7.5). iPad users need to single-click an order only to open the corresponding order at the Order Pad and then choose the **Cancel** action.
- Subsequently, click on the **OK** button.

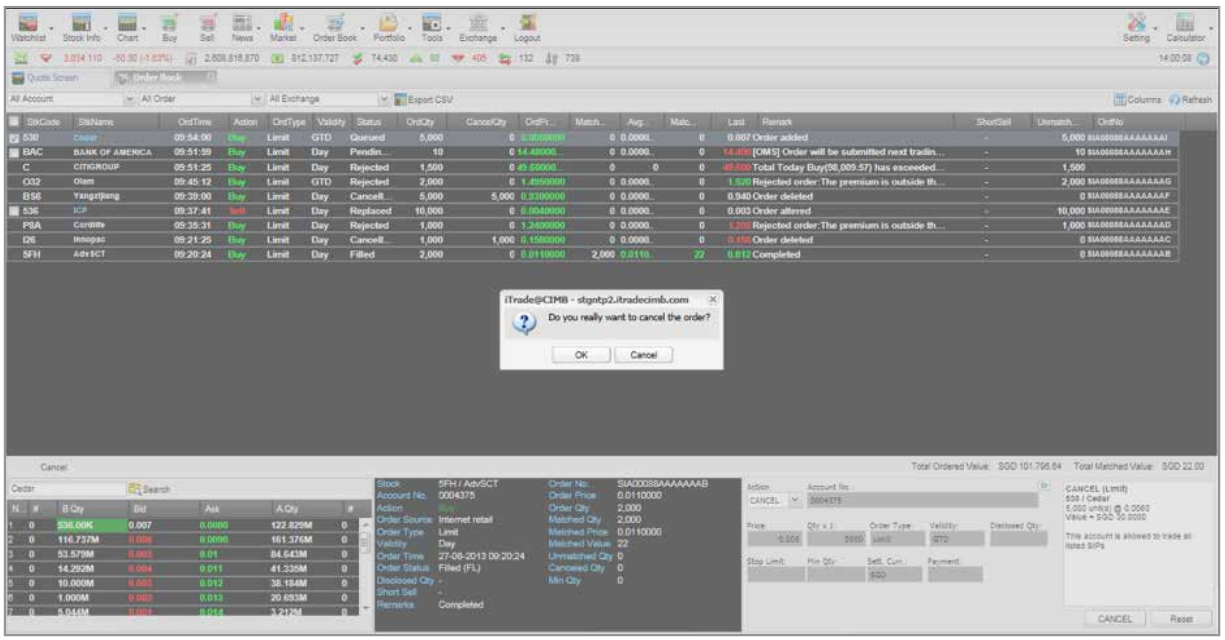

Figure 7.5 Cancel Order

7.4 Portfolio

a. To access the portfolio, click on the **Portfolio** icon at the Menu Bar.

b. The Portfolio (Figure 7.6) shows all the stocks currently held by the user and the details of the market movement. User has the option to sell any of the counters available here. To create a sell order, simply double-click the counter.

Figure 7.6 Portfolio

c. User may view the stock portfolio of individual stock exchange (if applicable) or all exchanges (default).

d. If user has more than one account, then he may select the required account number to view the portfolio.

e. To view the order details of a stock, simply select the stock counter and click on the **Detail** icon.

f. To open the portfolio in MS Excel or to save in MS Excel format, simply click on the **Export CSV** icon. (This feature is not available for iPad).